



4-14-04

Docket No. 8201/SYNX/JB

IN THE UNITED STATES PATENT AND TRADEMARK OFFICE

Commissioner for Patents  
P.O. Box 1450  
Alexandria, VA 22313-1450

Re: Inventor(s): Michael R. Rice, Eric A. Englhardt, Vinay Shah, Martin R. Elliott, Robert B. Lowrance and Jeffrey C. Hudgens  
Title: SYSTEMS AND METHODS FOR TRANSFERRING SMALL LOT SIZE SUBSTRATE CARRIERS BETWEEN PROCESSING TOOLS  
Serial No.: 10/764,620  
Filed: January 26, 2004

Transmitted herewith is:

☒ PTO Form 1449 and Information Disclosure Statement with five cited references.

☒ Return Postcards

FEE CALCULATION					
Fee Items	Claims Filed	Included With Basic Fee	Extra Claims	Fee Rate	Total
Total Claims	N/A	- 20 =	-0-	X \$18.00	\$0.00
Independent Claims	N/A	- 3 =	-0-	X \$84.00	\$0.00
Basic Filing Fee				\$740.00	\$0.00
TOTAL FEES					\$0.00

☐ The Commissioner is hereby authorized to charge \$0.00 to Deposit Account No. 04-1696.

☒ The Commissioner is hereby authorized to charge any additional fees which may be required, or credit any overpayment to Deposit Account No. 04-1696. A duplicate copy of this transmittal is enclosed.

☒ Please address all future correspondence to:

**PATENT COUNSEL**  
**APPLIED MATERIALS, INC.**  
Legal Affairs Department  
P.O.BOX 450A  
Santa Clara, CA. 95052

I hereby certify that this correspondence is being deposited with the United States Postal Service as express mail in an envelope addressed to: Commissioner for Patents, P.O. Box 1450, Alexandria, VA 22313-1450.

Express Mail Receipt No. EV403024948US

Date of Deposit: 4/13/04

Signature: [Signature]

Respectfully submitted,

[Signature]  
Brian M. Dugan  
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PATENTS  
8201/SYNX/JB

IN THE UNITED STATES PATENT AND TRADEMARK OFFICE

Applicants : Michael R. Rice, Eric A. Englhardt, Vinay  
Shah, Martin R. Elliott, Robert B. Lowrance  
and Jeffrey C. Hudgens

Serial No. : 10/764,620

Filed : January 26, 2004

For : SYSTEMS AND METHODS FOR TRANSFERRING SMALL  
LOT SIZE SUBSTRATE CARRIERS BETWEEN  
PROCESSING TOOLS

Commissioner for Patents  
P.O. Box 1450  
Alexandria, VA 22313-1450

INFORMATION DISCLOSURE STATEMENT

Sir:

In accordance with 37 C.F.R. §§ 1.56 and 1.97,  
applicants wish to call the attention of the Examiner to the  
following references:

U.S. Patent No. 5,261,935, Ishii et al.

U.S. Patent No. 5,827,118, Johnson et al.

U.S. Patent No. 5,829,939, Iwai et al.

U.S. Patent No. 6,054,181, Nanbu et al.

Foreign Art Reference No. EP 0 582 019 A1 (EPO)



These references are also listed on the accompanying  
Information Disclosure Statement (Form PTO-1449).

Consideration of the foregoing in relation to this  
patent application is respectfully requested.

Respectfully Submitted,

A handwritten signature in black ink, appearing to read "Brian M. Dugan", with a long horizontal flourish extending to the right.

Brian M. Dugan, Esq.  
Registration No. 41,720  
Dugan & Dugan, PC  
Attorneys for Applicants  
(914)332-9081

Dated:

4/13/04  
Tarrytown, New York

U.S. Department of Commerce, Patent and Trademark Office

Docket No.:

8201/SYNX/JB

Serial No.:

10/764,620

## LIST OF RELEVANT ART CITED BY APPLICANT

(Use several sheets if necessary)

Applicants:

Michael R. Rice, et al.

Filing Date:

January 26, 2004

Group:

## Patent Documents

*Examiner Initial		Document Number	Issue Date	Name	Class	Subclass	Filing Date If Appropriate
	US-1	5,261,935	11/16/93	Ishii et al.			
	US-2	5,827,118	10/27/98	Johnson et al.			
	US-3	5,829,939	11/03/98	Iwai et al.			
	US-4	6,054,181	04/25/00	Nanbu et al.			
	US-5						
	US-6						
	US-7						
	US-8						
	US-9						
	US-10						
	US-11						

## Foreign Patent Documents

## Translation

		Document Number	Date	Country	Class	Subclass	Yes	No
	F-1	EP 0 582 019 A1	02/09/94	EPO				
	F-2							
	F-3							
	F-4							
	F-5							

## OTHER ART (Including Author, Title, Date, Pertinent Pages, Etc.)

	OT-1	
	OT-2	
	OT-3	

Examiner

Date Considered

\*EXAMINER: Initial if reference considered, whether or not citation is in conformance with MPEP 609; Draw line through citation if not in conformance and not considered. Include copy of this form with your communication to applicant.